



INSTITUTE FOR DEFENSE ANALYSES

**After-Action Report for the Department
of Homeland Security's FY 2010–2014
Program Review**

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Stanley A. Horowitz, Project Leader

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PREFACE

The Institute for Defense Analyses (IDA) prepared this document under a task titled “DHS Program Review Training Workshop” for the Department of Homeland Security (DHS). The purpose of the task was to provide training to staff of the DHS Office of Program Analysis and Evaluation (PA&E) in preparation for the FY 2010–2014 program review process. As an outgrowth of that work, IDA undertook a review of the process to assess its effectiveness and provide recommendations for improvements. This document provides that assessment and recommendations.

We thank Dr. John Whitley of DHS PA&E, who sponsored this after-action review, and the valuable contributions of the following members of his staff Nathan Borst, Sarah Bouker, Morgan Geiger, Marianna Hennig, Brian LeFebvre, Kate Mishra, Gregory Pejic, Alexandria Phounsavath, and William R. Reed.

The IDA team sincerely appreciates the contributions of the following individuals: DHS Deputy Secretary Paul A. Schneider; DHS Under Secretary for Management Elaine Duke; DHS Deputy Under Secretary for Mission Integration, Office of Intelligence and Analysis, James Chaparro; DHS Chief Financial Officer (CFO) David Norquist; U.S. Immigration and Customs Enforcement (ICE) Deputy Assistant Secretary for Management Theresa C. Bertucci; ICE Deputy Assistant Secretary for Operations John P. Torres; U.S. Customs and Border Protection (CBP) Deputy Commissioner Jayson P. Ahern; and CBP Deputy Assistant Commissioner/Deputy CFO Elaine Killoran.

Finally, the IDA technical reviewer, Thomas P. Frazier, provided valuable suggestions for improving the report.

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A. INTRODUCTION

The Department of Homeland Security (DHS), Office of Program Analysis and Evaluation (PA&E), asked IDA to follow the DHS FY 2010–2014 program review process, assess its effectiveness, and provide written recommendations. This report documents those recommendations.

IDA staff attended various meetings related to the DHS FY 2010–2014 program review, including DHS component Resource Allocation Plan Briefs to the DHS Program Review Board, PA&E staff weekly issue team meetings, program review issue team meetings, and Resource Allocation Decision Briefs to the Program Review Board to assess how well the process executed. After the conclusion of the DHS FY 2010–2014 program review, IDA staff interviewed Deputy Secretary Paul A. Schneider and, individually, seven members of the Program Review Board to solicit comments on their experiences with the program review. These interviews were arranged by DHS PA&E, but members of that office were not present. IDA staff also interviewed DHS PA&E analysts in a workshop setting.

Questions were distributed in advance of the interviews (reproduced in the appendix to this document), not to dictate the content of the interviews, but to focus attention on the issues of most importance. Several interviewees provided written feedback, and these comments were incorporated into the analysis.

IDA staff developed recommendations in the context of DHS's Planning, Programming, Budgeting, and Execution (PPBE) system documents, DHS plans and goals for the DHS FY 2010–2014 program review process, and IDA staff experience with the Department of Defense's PPBE system.

In the background section that follows, we write briefly about the DHS PPBE process. Following the background section, we make observations related to the goals that DHS set for the FY 2010–2014 program review. In the recommendation section, we document our recommendations and provide the bases upon which the recommendations were formed.

B. BACKGROUND

DHS uses a PPBE process to develop its Future Years Homeland Security Program (FYHSP), a strategic plan that identifies 5-year program resource requirements, as well as the Department's annual President's Budget request. The DHS PPBE system establishes parameters and guidelines for implementing and executing the current budget. DHS

monitors progress and ensures accountability throughout the PPBE process and, after execution, through comprehensive reporting.

The DHS Office of the Chief Financial Officer (OCFO) Financial Management Policy Manual provides a background for PPBE, discussing its history, goals, and methods. We drew on it to provide the brief description of the planning and programming phases provided here.

The planning phase of the DHS PPBE system is led by the Office of Policy with input from PA&E/OCFO and other offices throughout the DHS. The Integrated Planning Guidance (IPG) is the final product of the planning phase. The IPG forms the basis for threat information to guide component resource plan development. The annual IPG also serves as the strategic framework for the DHS PPBE programming phase.

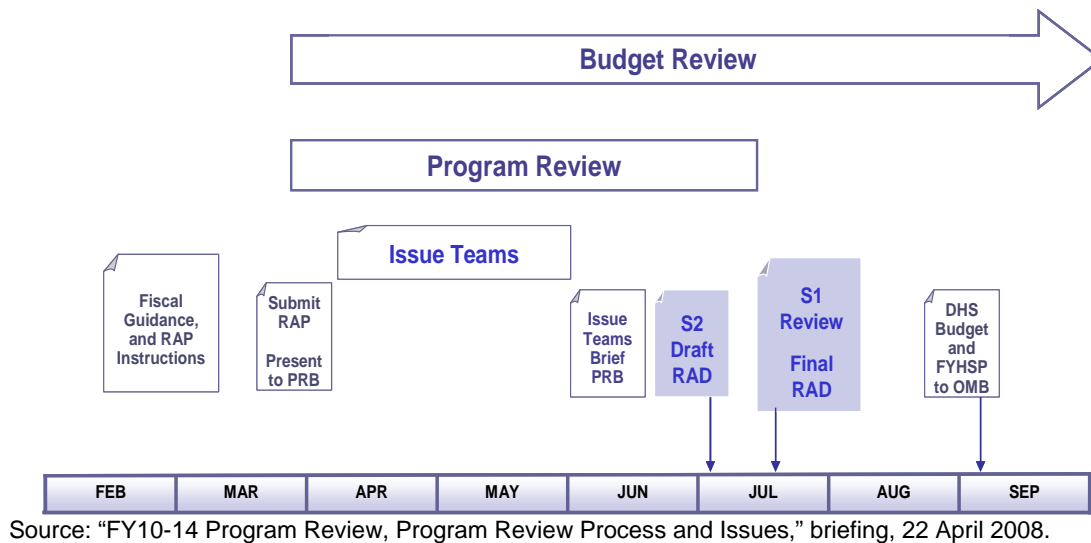
The programming phase is led by PA&E in the OCFO. PA&E is also responsible for integrating the planning, programming, and budgeting phases of the DHS PPBE system. PA&E, in close coordination with the Office of Management and Budget (OMB) in the Executive Office of the President, develops and issues FYHSP (fiscal) guidance. The fiscal guidance provides fiscal controls for each DHS component organization for each year of the 5-year plan. PA&E also issues Resource Allocation Plan (RAP) submission instructions for the DHS component organizations.

Each DHS component organization is instructed to develop a RAP in accordance with the IPG, fiscal guidance, and RAP submission instructions. The component RAP submissions are to contain detailed milestones and performance measures with targets across the FYHSP. In addition to within-guidance RAP submissions, component organizations have historically submitted over-guidance requests. The RAP submissions are submitted in early spring to PA&E, beginning the annual PA&E-led program review. PA&E reviews the component RAP submissions to ensure they are consistent with the fiscal guidance, IPG, and other Departmental guidance.

The Program Review Board (PRB) is the body that oversees program review. The Deputy Secretary chairs the PRB and a senior representative from each DHS component organization has a seat on the PRB. The Director, PA&E (DPA&E) serves as the Executive Secretary of the PRB.

Each component organization briefs the PRB on its resource allocation plans. During these meetings, the Deputy Secretary and the PRB members begin to identify issues for program and budget review. The CFO and DPA&E assist the Deputy Secretary in deciding which issues will be selected for review, and whether the issue is better handled by PA&E for programmatic issues or budget for budgeting issues. The budget

review is executed in parallel with the program review as depicted in Figure 1. The budgeting phase is led by the Budget Division, also within OCFO.



Source: "FY10-14 Program Review, Program Review Process and Issues," briefing, 22 April 2008.

Figure 1. FY 2010–2014 Program Review Schedule

The issues directed to program review are placed in one of several functional categories each of which is addressed by an issue team that is led by a PA&E analyst. On occasion, some smaller issues may be identified as Minor Issues at the PRB and tasked to a PA&E analyst for review.

The goal of the issue teams is to produce distinct programmatic options to achieve defined end-states over the FYHSP. All organizations with membership on the PRB are invited members of the program review issue teams. Other offices and subject matter experts may be invited at the discretion of PA&E. The issue team develops and analyzes programmatic alternatives and documents its results in a Program Review Decision Brief, which is presented to the PRB for decision. The PRB is not a voting body. The PRB informs the ultimate decision, which is made by the Deputy Secretary.

The Deputy Secretary issues guidance, which is documented in a Draft Resource Allocation Decision (RAD) document. PA&E issues the Draft RADs individually to component organizations for their review and a final chance to appeal the decision. The final RAD is issued by the Secretary and Deputy Secretary through PA&E. The final RAD defines the DHS FYHSP for submission to OMB.

C. OBSERVATIONS ON THE DHS GOALS FOR THE FY 2010–2014 PROGRAM REVIEW

This section discusses IDA observations related to the goals that DHS set for the FY 2010–2014 program review. Following this section are IDA recommendations for the DHS PPBE process.

DHS Deputy Secretary set the following goals for the FY 2010–2014 program review:

- Facilitate, in conjunction with the budget review, production of a prioritized, balanced DHS FY 2010–2014 FYHSP within-guidance levels and a consolidated, prioritized over-guidance package.
- Continue building and institutionalizing a collaborative, transparent program review process as part of the DHS PPBE process.
- Promote the transfer of information and continuity in the resource allocation process during the change in administration.

The DHS program review process produced a DHS FY 2010–2014 FYHSP at the within-guidance levels and a consolidated, prioritized over-guidance package that was submitted to OMB. Every member of the Program Review Board was provided the opportunity to learn about each issue and assign a priority. PA&E combined the assigned priorities to provide a ranking from 1 to n , the total number of issues. In coordination with the Deputy Secretary and the CFO, boundary lines were drawn classifying the over-guidance requests into three tiers.

DHS also made great strides in educating DHS leadership and analysts on the issues most likely to be revisited by the new administration. Many PRB members interviewed felt the FY 2010–2014 program review helped to prepare them to answer questions that may be asked by the new administration.

The PRB members generally concluded that DHS executed a collaborative, transparent program review process as part of the DHS PPBE system. DHS adopted a program review process to develop the FYHSP and shared it in Chapter 2 of the OCFO Financial Management Policy Manual. The participation, activities, and schedules discussed in these documents were followed for the most part; e.g., guidance for the component RAP submissions were issued; the PRB met to hear the component RAP submissions; program and budget review issues were identified and worked by issue teams; and program review issues were briefed to the PRB for decision. Another example of the collaborative, transparent process was manifested at the PRB meetings where each component organization had a chance to brief its base budget and over-guidance requests

to all DHS component organizations, in addition to the Deputy Secretary. In the preceding year, each component organization briefed the Deputy Secretary alone.

While the goal to achieve a transparent process was largely a success, the following items were perceived to violate the transparency policy goal: final RADs were released only to their respective component organization, the U.S. Coast Guard (USCG) did not participate in the issue team process (instead following the process of previous years to develop its budget), and decisions on issues identified as “Quick Action Items” were incorporated toward the end of program review.

D. RECOMMENDATIONS

Observation of the PPBE process and discussions with participants led us to the following recommendations for improvement. Each recommendation is followed by a discussion of the observations and comments that led us to formulate the recommendation. We present the most difficult recommendations to implement first. The later recommendations streamline the current process freeing up analysts’ time while minimizing confusion.

***Recommendation 1 (Evolution of the Programming Process):** DHS should continue its current course of improvement to the program review process and DHS leadership should enforce compliance with the process.*

DHS’s component organizations are used to having a new DHS headquarters budget process every year and many are not familiar with future year planning and programming. Further, they have little motivation to comply with parts of the current process they think are not in their best interest. For example, the USCG worked off line with the Deputy Secretary on its base budget and over-guidance requests.

This year, however, DHS adopted a structured process for program review in which all components saw all of the issues and the programmatic alternatives considered by the Secretary and Deputy Secretary. Some justified criticisms of the process were voiced (for example, too many small issues at the PRB Decision Meeting and insufficient staff for the workload created by the review), but the component organizations unanimously agreed that this year’s program review was (1) better than any that went before, (2) provided useful information for future planning and programming activities, and (3) provided an adequate structure for the program review part of PPBE. For those reasons, it is sensible for DHS to retain the PPBE, continue to evolve it, and look to leadership emphasis and the continuity of the process to improve participation and cooperation.

Recommendation 2 (Programming Effort): DHS HQ programming efforts should focus on rationalization of capabilities across components and agencies and should not be restricted to over-guidance requests. The DHS Headquarters and component organizations should provide realistic cost estimates to support the funding requests for the base budgets in addition to the over-guidance requests. PA&E should ensure that analyses provided with decision options relate DHS's programmatic goals to the funding provided to achieve those goals. Furthermore, the analyses should clearly link failure to achieve programmatic goals to the lack of sufficient funding.

No substantial changes to base funding levels came out of the DHS FY2010–2014 program review. In addition, while many component organizations and the CFO felt they did not have a realistic base budget to start, the base budget was hardly addressed during program review.

The lack of activity in this area can be attributed to many circumstances, including the change in administration, implementation of a new program review process, time constraints, limited in-house analytic capability compared to the magnitude and scope of the issues, and the program review goal that limited the scope of program review to prioritizing over-guidance requests.

All of these circumstances limited the ability of PA&E to get into the real programming issues DHS faces—the cross-cutting issues in the component's base budgets. For example, this year, the border control issue team focused on the U.S. Customs and Border Protection (CBP) solution to border control, but several other component organizations affect border control, e.g., the USCG and ICE. An improved program review would examine the base budgets for all component organizations participating in and affected by border control issues and allocate resources to achieve the best outcome for the Department and the country (or at least make progress toward doing this).

PA&E analysts did not have much opportunity to engage in programming activities during this program review. DHS PA&E sorted over-guidance requests, grouped them into categories, and assigned them to a program review issue team or budget review. The issue teams were allocated too many loosely related resource requests to permit effective indepth analysis as the basis for their proposed program decision options. A few PA&E analysts reported that they spent most of their time packaging information into a briefing format for the Program Review Board.

Recommendation 3 (Compliance with Guidance): Formalize a PA&E review of RAP submissions for compliance with guidance. PA&E's assessment of failure to comply

should hold up consideration of over-guidance requests for program review issue identification.

There appeared to be no formal process for the PA&E analysts to review the RAP submissions against guidance documents (IPG, fiscal guidance, instructions for RAP content) and act upon the results of the review. Consequently, some RAP submissions were used as the basis for program review without key critical information such as performance metrics, priority ranking, and accompanying exhibits. Issue teams spent precious and limited time identifying, collecting, and developing information that should have been available from the beginning. A reasonable approach for limiting the number of program review issues was not followed.

The DHS program review process does not have the tools for enforcing fiscal constraint/restraint. If PA&E can hold up a request for over-guidance funds for non-compliance of the RAP submission with policy, congressional direction, fiscal guidance, planning guidance, and program review decisions from the previous year, it will increase the office's ability to incorporate proper programming techniques in the development of the base budgets of future submissions.

Recommendation 4 (Interface Between Program and Budget Review): *DHS Policy, PA&E, and Budget need to discuss and reallocate their activities regarding planning, programming, and budgeting so they are consistent with DHS documentation of the PPBE process. PA&E should focus on base funding of cross-functional issues in the programming years of the FYHSP. PA&E and the Budget Office should co-develop the interfacing process between program and budget review.*

As practiced this year, the distinction between programming and budgeting was vague. According to the CFO, program and budget review shared the same process—the only distinction he made was the criterion that sent cross-functional and/or multi-year issues to PA&E analysts and single-year requests for FY 2010 funds to the budget analysts.

It appears that some PA&E and Budget Office analysts do not understand what the other is trying to accomplish. At one extreme, a PA&E analyst reported that Budget analysts do not have a documented process for budget review. However, we spoke to a Budget analyst who clearly outlined a budget review process that made sense and did not understand why Budget analysts would be perceived as not having a process.

Some program review participants perceived a lack of communication between PA&E and the Budget side of the OCFO. It did not appear there was a coordinated transmission of the Deputy Secretary's decisions from PA&E to Budget. In addition,

some PA&E analysts felt they did not have the needed visibility into budget analysis and recommended actions.

Recommendation 5 (Issue Identification): *PA&E and the Budget Office should develop an integrated program and budget review issue identification and classification process. The issue identification and classification process should draw upon RAP submissions that have passed the review for compliance to guidance. The issue identification process should have criteria that limit the number and scope of the major program review issues that are handled by the issue teams. For example, they should be important enough to merit the attention; they should relate funding to measures of success; and they should address issues of compliance with guidance. PA&E analysts should be able to ensure the base and alternative programs have a reasonably accurate cost estimate and to provide objective assessments and appraisals of tradeoffs.*

There is no method to classify an issue as not worthy or mature enough to be considered for any type of review or action or to dismiss an issue in the current year for consideration of additional funds. Everything was carried through and ranked by the Program Review Board. In addition, some issues that PA&E classified this year as “no further review” were passed on for budget review and experienced favorable outcomes. Disparate and incomplete handling of over-guidance requests undermines attempts to impose fiscal discipline across DHS component organizations that submit over-guidance requests.

The program review was weighed down by too many small issues. This meant that issues were handled too quickly, which hurt PA&E credibility.

Some component participants had difficulty fitting their issues into the PA&E-defined buckets. PA&E lost a few weeks of review time “bucketing” issues, and the PRB did not have any real input into issue formation. PA&E analysts should have spent more time up front reading program decision options to develop the issues.

Recommendation 6 (Issue Categories): *Modify the issue identification process to distinguish the following three categories for program review and have a different process for each that allots an appropriate amount of program review resources to the resolution:*

- *Minor—administrative matters, small amounts of resources, and single agency participation (even if it is a considerable funding request). Minor issues can be worked by few people and documented in a short issue paper. These issues would not consume time at the PRB Decision Meetings.*

- *Directed*—issues identified by senior leadership and, therefore, treated as major issues. This process would need to adapt to the needs of senior leadership.
- *Other Major*—large cost or widespread effects that involve multiple agencies. Major issues are the subject for full issue team participation as currently adopted by DHS PA&E.

The importance of the program review issues that were identified by the Deputy Secretary this year (termed “quick-action items” by PA&E) may have been underrated by PA&E. These issues were of special importance to the Deputy Secretary, and he was pleased with the way these issues were handled by PA&E and the outcomes.

Recommendation 7 (Issue Handling): *Modify the program review process to incorporate separate handling of minor and directed issues. For example, minor issues can be assigned to a PA&E or budget analyst who would then collect information and write a short issue paper with recommendations. The paper could be posted on a Web site to maintain the integrity of the transparent process policy. The process for handling directed issues should be tailorable to the wishes of the current Deputy Secretary on content, attendance, and frequency without appearing to bypass the PRB. To the extent possible, directed issues should be subject to the full PRB process.*

Some program review participants felt they should have been included in the deliberations of some of the quick-action items.

Issues identified as quick-action items were handled outside the documented PA&E program review process, even though PA&E management and analysts participated in the analysis of these issues. These items were inserted back into the PA&E program review process during or after the Program Review Decision Briefs were presented to the Program Review Board. Some people felt this situation was not in the spirit of the goal to have an open and transparent process and that they should have participated in the discussions but were not included.

Recommendation 8 (Issue Teams): *Minor issues should not be handled by issue teams.*

Each PA&E analyst headed an issue team and all multi-year over-guidance requests were distributed to one of the issue teams or to budget review. Too many topics were assigned to each issue team.

One PA&E analyst felt their issue team did not have time to do any sort of technical analysis. That person also added that they did not think any of the teams did any sort of original analysis beyond simple scaling.

Another PA&E analyst wrote:

Virtually all of the major topics our teams examined required some sort of operations research or systems analysis. PA&E currently does not have the in-house capability to do this in the fall to prepare for the approaching Program Review. The results are presentations of superficial financial analysis that basically re-packages the over-guidance requests more neatly. We didn't have any solid analytical studies to support recommendations for true programmatic changes. We can only say if something is generally working or not, we can't say how to fix it.

Some component executives felt they did not have the manpower to adequately staff all issue teams.

Removing the minor issues from the responsibility of issue teams would allow more analysis of the directed and other major issues.

Recommendation 9 (Time Slots for Decision Briefs): *Time slots for decision briefs should be allocated to major issues and tailored to give more time to more important issues. Work minor issues outside the PRB Decision Meetings.*

This year major issue decision briefs were allotted 60 minutes in front of the Program Review Board and minor issues were allotted 15 minutes. Some interviewees thought minor issues could be handled offline rather than going before the Program Review Board.

Recommendation 10 (Distribution of Draft PRB Briefs): *The process should provide for earlier distribution of draft PRB briefs to component leadership for review.*

This year the issue teams distributed draft PRB briefs at the staff level 2 days before the decision meeting and sometimes sent informal read-ahead information a week in advance. Despite this, some PRB members reported not having enough time to prepare for the decision meeting.

Recommendation 11 (Pre-Program Review Analysis): *PA&E should begin analysis of cross-cutting issues in the spring and incorporate a pre-program review assessment on issues that need extra vetting time.*

A few cross-cutting issues required more time and different resources than the program review process permits. For example, multiple organizations contribute to border control (e.g., CBP, USCG and ICE) and developing an efficient and integrated solution to border control cannot happen during short, intense annual program review.

Recommendation 12 (Program Review Issue Papers): *Modify the process so that in future years a Program Review Issue Paper that documents the analysis that went into the alternatives presented in the decision brief is developed in parallel with the brief and is available to members of the PRB before the decision brief is presented to the PRB.*

The program review process provided PRB briefs for major issues and issue papers for minor issues, but no formal documentation of the analyses. While PA&E intended to document its analysis in the fall of 2008 to prepare for the new administration, the best time to document analysis is when you are performing the analysis.

Recommendation 13 (Status on RAP submissions): *Include the result of PA&E's review of the RAP submissions against guidance in the regular status reports to the PRB during the RAP briefings.*

There was a general lack of understanding and awareness of the importance of complying with guidance in RAP submission. There was no mechanism for PA&E to provide feedback on how component organizations were complying with guidance.

Recommendation 14 (Document Templates): *Take the best of this year's documents and use them to make templates for next year.*

Different presentation and documentation formats introduced confusion and increased the time needed to understand the issues.

Recommendation 15 (Integrated Database): *Assure that the RAD from program review and the Schedule B from the budget review are built from one single database. Develop a single document or database to manage all resource allocation decisions. The RADs should also be part of a single document linked to the management tool.*

Configuration management and configuration control of programming and budgeting data were inadequate. PA&E analysts invested considerable time in administrative tasks instead of thinking about and writing the RADs.

Recommendation 16 (PRB Meeting Minutes): *Publish the Deputy Secretary's decisions after each PRB meeting in the interest of providing the Department with a transparent program review process and to improve communication between the program and budget reviews.*

Several instances were observed where people had different interpretations of a decision made by the Deputy Secretary and felt that the decision was reversed by the budget review.

E. CONCLUSIONS

The Department of Homeland Security has made significant progress in institutionalizing a Planning, Programming, Budgeting, and Execution process. This year, the efforts of the program review issue teams and the Program Review Board were focused on the preparation of a prioritized, over-guidance request to submit to OMB and

to prepare the senior leadership of each Program Review Board member component for the new administration. While these are important tasks, they are more limited than those of a classic PPBE process. Consideration of cross-component trades among the highest priority programs and initiatives within guidance levels would lead to an improved program review process.

APPENDIX: DISCUSSION QUESTIONS

QUESTIONS FOR DEPUTY SECRETARY, PAUL A. SCHNEIDER

1. The issues teams analyzed People Screening, Cargo Screening, Interior Immigration Enforcement, Facilities Consolidation, Biowatch, IT, Intelligence, and Border Security. Was this the right set of issues given the operating environment the Department faces and pending change of Administration? How should issue determination be made in the future?
2. Were the PRB decision briefings informative and provide the information in the best way for you to make decisions? How would you have changed the decision briefs?
3. Did the program and budget review process give you the information you needed, when you needed it, to make informed resource decisions?
4. Did the Program Review Board (PRB) discussion and prioritization help you make decisions? What would you change about the PRB make-up or progress?
5. Were the quick action items (e.g., USCG acquisition, fusion centers, cyber security) and minor issues (e.g., pandemic influenza, counter-IED) helpful? How could PA&E better manage quick action items and minor issues to ensure integration into the process and retain transparency?
6. Was the process helpful for transition preparation? Should the program review packages/decision briefs be used as part of the transition material?
7. Should the PRB meet more regularly during the year to discuss resource allocation issues and reduce the concentration of workload during the program review period? Should the PRB membership after the transition remain as deputy component heads or be transferred to component heads?
8. What would you change about the overall process?
9. Do you have any other comments?

QUESTIONS FOR PRB MEMBERS

Introduction: Mr. Schneider's priorities for the FY 2010–2014 program review were to:

- Produce a balanced FY 2010–2014 Future Years Homeland Security Program (FYHSP) and FY 2010 budget within guidance funding levels from OMB, and a limited prioritized over-guidance request containing key programs and initiatives that cannot be funded within that level.
 - Build and institutionalize a collaborative transparent process to support DHS planning, programming budgeting and execution.
 - Promote continuity in the resource allocation process during the change in administration.
1. The first priority was building a balanced, prioritized program and budget with a limited over-guidance request. How well do you think this was accomplished?
 2. DHS has never submitted a budget within the OMB guidance values. Submitting budgets above guidance transfers decisionmaking from DHS to OMB, giving them more control of our destiny. How could more fiscal discipline be accomplished in the resource allocation process?
 3. The second objective was to institutionalize an analytically based, transparent resource allocation process. How well was this accomplished?
 4. Were the PRB decision briefs informative and provide the information in the best way for you to make recommendations to the Deputy Secretary? Was the analytical content of sufficient depth? How would you have changed the decision briefs?
 5. Did the Program Review Board (PRB) meetings provide transparency in the resource allocation process?
 6. Did the staff-level issue teams provide transparency in the resource allocation process? Did your staff attend the issue team meetings? Did you interact and get briefs from your staff attending the issue team meetings while they were on-going? Next year will your staff participate in more issue teams?
 7. The issues teams analyzed People Screening, Cargo Screening, Interior Immigration Enforcement, Facilities Consolidation, Biowatch, IT, Intelligence, and Border Security. Were the issues the correct set of issues that the Department faces? How can issue selection be improved?

8. Were the quick action items and minor issues (for example, Pandemic Flu, Counter-IED) helpful? How could PA&E better manage quick and minor issues to ensure integration into the process and retain transparency?
9. Most of the discussion in the FY 2010–2014 cycle concerned over-guidance requests. In future years as the high growth rates the Department has experienced begin to diminish, the discussion will begin to focus more and more on the base and on trade-offs across component organizations. What challenges will be introduced by this and how can these be overcome?
10. Should the PRB continue meeting periodically throughout the year to discuss resource-allocation issues, prepare for the next cycle, and try to smooth the workload more evenly throughout the year?
11. Was the process helpful for transition preparation? Should the program review packages/decision briefs be used as part of the transition material?
12. Do you have any other comments?

QUESTIONS FOR PA&E ANALYSTS

(1) Process management, e.g., Program Review Board (PRB), Meetings with the Deputy Secretary (S2), Appeals

- What important programmatic issues were not adequately discussed during the FY 2010–2014 program review?
- What important programmatic issues were misunderstood by the PRB?
- How well did the program review process document the analyses performed to support the decisions made during this year's program review? Will these products support reexamination of the FY 2010 budget and the FY 2010–2014 FYHSP by the new administration?
- What can be done to reduce the number of appeals?
- What issues were addressed outside the documented process (e.g., end-run-arounds)?
- What can be done to improve component participation in next year's program review?
- How did leadership support PA&E administration of the program review process? How can this be improved next year?

(2) Program review issue selection, e.g., scope, quick action items, staying on schedule

- Were the issues selected the correct set of issues for program review? How can PA&E ensure better and timelier selection in the future?
- What tools were available for denying the over-guidance requests that did not relate resource requests to outputs/outcomes/end states?

- What could be improved by the way the program review process handle non-programmatic action items and minor issues? What issues that should have been handled through this process were not? Why not?
- How does the DHS program review process handle issues that required technical analysis prior to estimating the resources needed? What issues that should have been handled through this process were not? Why not?

(3) Management of issue teams, e.g., conducting analysis, developing products

- Do you think your issue team provided an objective view of your issue to the PRB?
- How much of your time was spent discussing issues of a technical nature? Do you think you were prepared to lead the technical discussions for your issues? What could management have done to prepare you better? Do you think you will be prepared to lead the technical discussions for your issues next year? If not, what is standing in your way?
- Issue team leads: Do you feel that sharing the presentation of the PRB with cross-cutting partners helped or hindered the presentation? Do you feel that PA&E should be sole presenter? Do you feel the component should be sole presenter?
- How much time was spent in issue team meetings deciding what the issue was? How helpful was your team in formulating the issue and developing the decision brief?
- How successful was your team in developing metrics? What were obstacles that you encountered? Provide any examples of successful metrics.
- What issues were eliminated by the issue teams? Did these go to the appeals process?
- How involved were non-stakeholding component organizations in your issue team? What is the appropriate level of involvement? How can PA&E encourage the component organizations to participate?

(4) Coordination with budget review

- What problems did you encounter with the concurrently conducted program and budget reviews? How could these problems have been avoided?
- Should budget analysts attend the issue team meetings?
- How involved should PA&E be with budget review?

(5) Resource Allocation Decisions

- To what extent were the issues presented by your team to the Program Review Board funded in the RAD by more than 50 percent of requested funds?
- How well were program and budget review decisions coordinated to construct the RAD?
- What were obstacles/problems in writing the RAD decision language?

ABBREVIATIONS

CBP	[U.S.] Customs and Border Protection
CFO	Chief Financial Officer
DHS	Department of Homeland Security
DPA&E	Director, Program Analysis and Evaluation
FY	fiscal year
FYHSP	Future Years Homeland Security Program
ICE	Immigration and Customs Enforcement
IDA	Institute for Defense Analyses
IED	improvised explosive devices
IPG	Integrated Planning Guidance
IT	information technology
OCFO	Office of the Chief Financial Officer
OMB	Office of Management and Budget
PA&E	Program Analysis and Evaluation
PPBE	Planning, Programming, Budgeting, and Execution
PRB	Program Review Board
RAD	Resource Allocation Decision
RAP	Resource Allocation Plan
USCG	United States Coast Guard

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14. ABSTRACT The Department of Homeland Security (DHS), Office of Program Analysis and Evaluation (PA&E), asked IDA to follow the DHS FY 2010–2014 program review process, assess its effectiveness, and provide written recommendations for improvement. This report documents those recommendations. IDA staff attended various meetings related to the DHS FY 2010–2014 program review to assess how well the process executed. After the conclusion of the DHS FY 2010–2014 program review, IDA staff interviewed Deputy Secretary Paul A. Schneider and members of the Program Review Board to solicit comment on their experiences. IDA staff developed recommendations in the context of DHS's Planning, Programming, Budgeting, and Execution (PPBE) system documents, DHS plans and goals for the DHS FY 2010–2014 program review process, and IDA staff experience with the Department of Defense's PPBE system.					
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